WASHINGTON COURTS

Administrative Office of the Courts

DRAFT

WASHINGTON STATE
JUDICIAL INFORMATION SYSTEM COMMITTEE

JUDICIAL INFORMATION SYSTEM (JIS) STRATEGIC PLAN

2006

(The JIS Strategic Plan fits within Part II of the JIS Portfolio.)

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A. Mission

The mission of the Washington State Administrative Office of the Courts (AOC) and the Judicial Information System (JIS) is the same: to advance the efficient and effective operation of the Washington State judicial system.

More efficient operation is required because demands on the courts and county clerks' offices continue to outstrip resources. Better information for court staff and participants in the court system is essential as society becomes more complex. Better access to the courts is needed as many unrepresented people continue to deal with the justice system themselves. That environment is not likely to change in the near future. Court users want faster and cheaper justice.

B. Goals and Objectives

The framework for judicial branch strategic planning and, therefore, the JIS strategy is the trial court performance standards. The trial court performance standards identify the fundamental goals and responsibilities of courts within five performance areas. The trial court performance standards were developed by a national commission of judges and court managers. The standards have been endorsed by the Conference of Chief Justices, Conference of State Court Administrators, American Judges Association, and National Association for Court Management. (For more information about the trial court performance standards, please review information on the Web site of the National Center for State Courts at http://www.ncsconline.org/WC/Education/CtPerSGuide.htm). In the future, the Washington State Board for Judicial Administration (BJA) long-range plan may also provide guidance for JIS strategies within overall judicial branch strategic planning.

The five performance areas identified in the trial court performance standards are Access to Justice; Expedition and Timeliness; Equality, Fairness, and Integrity; Independence and Accountability; and Public Trust and Confidence.

1. Access to Justice

Over the last decade, the JIS has shifted from exclusively providing services to the courts to making a growing number of services available to the public as well. Amendments to RCW Chapter 2.68 in 1996 call on the JIS to "Increase capabilities to receive information electronically from the public and transmit forms, applications and other communications and transactions electronically." With the advent of digital government, citizens now bring an expectation that they should be able to conduct court business over the Internet. As an information and service provider to the public and to the Bar, the Washington Courts public Internet Web site is an important component of the JIS access to justice strategy.

2. Expedition and Timeliness

Because of the concentration on case management systems, this performance area is the traditional heart of the JIS mission. Most of the work on JIS applications focuses on providing improved business support for case management. In the future, the JIS will need to make more tools for decision-making available to judicial officers. At the same time, a new emphasis on coordination with the business systems of other state and local agencies requires better linkages with JIS applications and exchanges of data.

3. Equality, Fairness, and Integrity

The JIS applications support this performance area by providing accurate and complete criminal justice information for decision-making, facilitating the scheduling of events in the courts, and providing information and services (such as pattern forms) to users of the court system.

4. Independence and Accountability

The JIS provides indirect support to judicial independence through the collection of caseload data used to estimate court staffing needs. The JIS also supports accountability by providing systems for accurately managing accounts for fees and fines. Increasingly, JIS data will be used as part of court performance evaluations.

5. Public Trust and Confidence

The JIS supports this performance area by making available legally accessible JIS data while protecting privacy rights appropriately, providing an Internet Web site with extensive information on the courts, increasing the number of services including case information, and supporting court operations and judicial decision-making. JIS Web site services currently allow public searches of cases and access to court hearing dates, increasing the transparency of court operations.

C. Three- to Five-Year Vision

The vision for the JIS as derived from workshops with representatives of the court community in January 2006 consists of three major components.

1. The courts are able to use the JIS in ways that enable courts to maximize efficiencies in business operations.
    - Judicial officers and staff in all courts and county clerks' offices use a fully-functional, user friendly case management system.
    - All courts and county clerks' offices have sufficient resources (e.g., network infrastructure and personal computers) to make maximum effective use of the JIS.
    - Judicial officers, court administrative staff, and county clerks' office staff have sufficient expertise to make efficient use of available technology, including the JIS.

- Redundant entry of data used by the courts and clerks is eliminated.
- The JIS is the preferred solution for case management.

2. The JIS provides extended sets of data and information to users in the court community, criminal justice agencies, and the public.
   - Judicial officers can access complete information with easy-to-use interfaces that meet their needs.
   - All data provided by courts to the Washington State Patrol, Washington State Department of Licensing, and Washington State Department of Corrections is transmitted in electronic form.
   - Data exchanges involving JIS data to be shared among courts, criminal justice partners, and others can be routinely initiated without program coding.
   - The public, including commercial users and the media, has Web access to a standard set of public record case information displayed in a user-friendly way that meets accessibility standards.
   - The courts have access to a complete data warehouse and set of tools for query and analysis.

3. The AOC is the preferred solution provider for information technology in the courts. The AOC offers desirable and effective solutions for the courts.

D. Problems, Challenges, and Opportunities

1. Problems – Business Problems Facing the Courts

a. Gaps in Automation: Some business needs within the various courts are not currently supported with the required automated functionality. The courts require enhanced or new functionality to continue to meet business requirements. Specific requirements vary by court, but overall the courts need:
   - Case management (all)
   - Calendaring (all)
   - Jury management (superior courts and courts of limited jurisdiction)
   - Probation (juvenile courts and courts of limited jurisdiction)
   - Social and therapeutic information (juvenile courts)
   - Statistic and management reporting (all)
   - Process universal payments (juvenile courts and courts of limited jurisdiction)
   - Receive and store electronic documents (all)
   - Data exchange (all)
   - Financial management (all)
   - Judicial decision-making tools (all)

   Example: Superior Court Management Information System (SCOMIS). The system has limited calendaring/scheduling functionality and does not provide tools needed to manage resources or project demand for them. It also lacks receipting functionality so that receipting must be done with a separate system (Judicial Receipting System). Case management functionality is weak as the system only

tracks one disposition per case and more are needed for juvenile cases. Changes to SCOMIS are onerous because functional and data complexity have increased beyond what the system was originally designed to handle.

b. Operational Inefficiencies: Higher court workload and costs result from redundant data entry and manual inefficiencies. Many court, county clerk, and criminal justice agency processes require data to be entered more than one time, particularly where the process is part of a larger information flow that involves other agencies.

   Example: The ability to issue and process electronic tickets will save the courts and the state significant time and resources by reducing the current process of transcribing paper tickets into the system.

c. Maintenance Costs: High cost and the risk of ongoing maintenance/support are inherent with multiple, nonintegrated legacy applications.
   - Maintainability is becoming a challenge as caseload, public access, and functional and data complexity increase beyond what the system was originally designed to handle.
   - Several systems operate using dated technology platforms.
   - COBOL and Natural are both legacy development environments that are antiquated and need to be retired.
   - Maintenance will become a bigger challenge resulting from retirement of experienced legacy support staff.
   - It is difficult to attract or retain qualified information technology staff with needed skills in outdated technologies. A number of critical resources are (or will soon be) able to retire.

   Example: The District and Municipal Court Information System (DISCIS)/JIS is a mainframe application that is COBOL, CICS, and Natural-based. With the imminent retirement of maintenance staff, adequate support and maintenance will be at risk. Higher costs will be incurred to find replacement staff who will not have the AOC-specific business knowledge to meet current support levels.

d. Lack of Access to Information: Limited availability of information to users in all areas including the judicial branch, criminal justice agencies, the Bar, commercial entities, and the public. JIS access services provide only a limited portion of the information that is public record. Commercial and public users want more. Partner agencies and the courts also want to be able to get more and with tools that are easy to use.

   Example: There is high demand from the public, commercial entities, and other governmental agencies for a public defendant case history. The current JIS can only produce a defendant case history that contains confidential information and thus can only be shared within the courts and with trusted criminal justice partners.

2. Challenges – Challenges to Automation

a. Differing and Inflexible Business Practices: Ingrained business practices present the greatest single risk to successful automation in the courts. Most courts perceive

themselves to have procedures that are sufficiently unique that they necessitate unique automation needs. Building case management systems for each court level reflects this premise. More significant is the disparity of business practices within each court level. To some extent this reflects the size and organization of the local court, but it also stems from jurisdictional differences in approach to public policy and historical differences in the operation of each court. It is not viable to support multiple versions of a software application, such as a case management system. Greater consistency of business practices across courts will be required in the future.

The challenge is compounded by the difficulties in changing business practices regardless of whether they differ from court to court or level to level. Courts must assume that change will be required everywhere.

To meet these challenges will require:

- Standardization of business practices to the extent practicable.
- The case management system (or systems) to have sufficient flexibility to handle some differences.
- An absolute commitment by the courts to make reasonable changes in business practices.

b. Funding and Costs: Core case management systems typically have life cycles of about twenty years. This means that a system like JIS will face a significant investment cost once every two decades. Amortized over the entire life cycle, it should be a cost-effective investment with a real business payback. Funding such an amount, however, poses a budget problem. The AOC must deal with this problem by finding sufficient funding sources and by controlling costs through tactics such as limiting custom development by purchasing commercial off-the-shelf software packages.

3. Opportunities – Opportunities for Automation

In 2005, the Gartner Consulting Group performed an assessment of the JIS and identified three primary opportunities.

a. Provide the technology infrastructure and direction to accommodate future business change and improvement. Although the future JIS will not be a single monolithic system, it will consist of components that will need to operate together in a coordinated way. As a foundation for this coordination, the AOC will need to:

   i. Identify in detail a solution architecture direction and definition that will enable the AOC to quickly assess:
      1. specific technologies to support development and operational activities,
      2. required staffing and skills (including vendor support), and
      3. overall project budget and schedule impacts.

ii. Focus on data integration and data architecture including establishing standards for data sharing and integration including:
    1. Develop detailed data exchange architecture.
    2. Assess buy vs. build alternatives.
    3. Develop integration standards.
    4. Define the enterprise database architecture.
    5. Define a phased implementation plan.

    Data exchanges at the local level enable courts to better integrate their criminal justice systems. Such reengineering of business processes across agency boundaries leads to significant gains in efficiency. The same kind of data exchange at the state level eliminates duplicate data collection and increases data consistency and accuracy. To support this, the AOC will need to focus on the operation and maintenance of the data infrastructure.

iii. Enable and implement common services (software components) that can enable current and new applications to interact along with supporting the consolidation of applications in the future. The deployment, operation, and maintenance of tools to host business applications will provide the courts with a solid, secure backbone upon which to build future capabilities.

b. Improve public safety services through the identification of indicators and trends in criminal behavior (business intelligence). Availability of data combined with the use of business intelligence tools can enable courts to establish meaningful relationships and patterns that would not be readily apparent otherwise. For example, deep data mining and analysis can provide courts and local law enforcement with indicators and trends in criminal behavior at the case level and in aggregate. This information may provide the basis for changes in policies, enforcement, and judgments that improve the delivery of public safety services.

c. Improve access to justice for the people of Washington.
Improved access to case information for judges will:
- Provide judges with enhanced access to complete case files and histories.
- Expand information provided to judges (e.g., such as social and risk assessment).

Increased transparency and access to court information by people will:
- Enhance oversight and accountability of the courts.
- Provide convenient access to the courts by the public (e.g., court calendars and juror reporting information).

E. Guiding Principles

The assessment of JIS and development of the JIS Roadmap in 2005-2006 also identified a set of six guiding principles. The guiding principles have been incorporated into JIS planning.

1. In general, consider buying commercial off-the-shelf (COTS) software rather than building new software.
   - Maximize success by not customizing standard COTS software offerings.
   - Standardize common business practices by court level and size.
   - Any COTS offering should be modular (i.e., include flexible options to choose functionality).
   - Focus should be on packaging the best set of tools positioned to support the court community.
   - In the transition to COTS, maximize reuse opportunities with existing JIS applications through a bridging strategy that extends capabilities (e.g., SCOMIS and DISCIS/JIS).

2. Focus legacy system activities on addressing functionality and performance issues.
   - Provide enhanced data exchange capability for DISCIS/JIS and SCOMIS.
   - Provide for localized (court/county-specific) reporting as well as strategic reporting through the AOC for legacy applications.
   - Provide a bridging strategy that ensures a safety net for users for any application that is being terminated or phased out (e.g., Court Automated Proceedings System).

3. In the near term, focus on the development of “foundational” capabilities early to provide enhanced capability for legacy system information exchange as well as to provide the foundation for COTS integration. Specific projects in this area may include:
   - Information exchange
   - Data warehouse and reporting
   - Initial judicial decision-making

4. Identify quick-hit COTS solutions for the courts to expand current service offerings.
   - Calendaring/resource management
   - Pre/post sentencing probation
   - Reporting and information access

5. Select and deploy a Core CMS solution. Define an implementation and deployment strategy:
   - Use a phased deployment.
   - Select a common COTS package for all users.
   - Deploy multiple copies of the common package configured to support individual courts by level and size.
   - Consider that smaller courts could share a single copy of the common package.
   - Integrate information flow and reporting through the data exchange and data warehouse.

6. Any implementation will require local court participation.
    - Time commitments (e.g., requirements, testing, and implementation support)
    - Resource allocation (subject matter experts)
    - Court business practice (optimization)
    - Local operations

F. Strategies

The following six strategies shape the JIS:

1. The JIS Roadmap
2. Information and Technology Support
3. Funding
4. User
5. Maintenance
6. Governance and Project Oversight

1. The JIS Roadmap Strategy

   The JIS Roadmap identifies the projects to be undertaken to provide JIS functionality and information to the courts, criminal justice users, and the public to meet present and future needs. The Roadmap includes projects for the 05-07, 07-09, and future biennia. Five high-priority projects to be undertaken first are:

   a. Data Interchange: The goal of the Data Exchange and Interchange project is to enable real time data sharing among courts, criminal justice partner agencies, and the public.

   b. Core Case Management System (CMS): The goal of a Core Case Management System is to support the case management and record-keeping operations of the court. The approach will be to use commercial off-the-shelf software. Core case management includes:
      a. Case and Person
      b. Basic Calendar
      c. Hearings
      d. Docketing
      e. Compliance
      f. Disposition
      g. Basic Accounting and Receipting
      h. Basic System Configuration Maintenance, Security, and Integrity

   c. Resource Management (Calendaring): The goal of the Resource Management/Calendaring project is to optimize the use of judicial officers' time, participants' time, and other court resources by providing improved ability to schedule cases, resources, and related activities. The project will build on the basic calendar and hearings features in the core case management system to improve workflows and the scheduling of resources and participants (e.g.,

officers, jail transport, interpreters, witnesses, courtrooms, and audiovisual equipment).

d. Reporting and Information Access: The goal of the Reporting and Information Access project is designed to improve the capabilities for access to information in the JIS database by the courts, criminal justice partners, and the public.

e. Pre/Post Sentencing Probation: The Probation project will cover probation management for courts of limited jurisdiction and juvenile departments including activities related to pre- and post-adjudication probation case management, assessment and court ordered management of probationers, risk management and liability reduction, and management of statutory and special programs.

Other priority projects for the JIS to undertake are:

a. Judicial Decision-Making: The purpose of the Judicial Decision-Making project is to identify technology to support judicial officers in their decision-making role. The judicial officers' requirements for tools and information will be included in the JIS Roadmap projects, particularly in conjunction with the Core CMS project, and other development efforts.

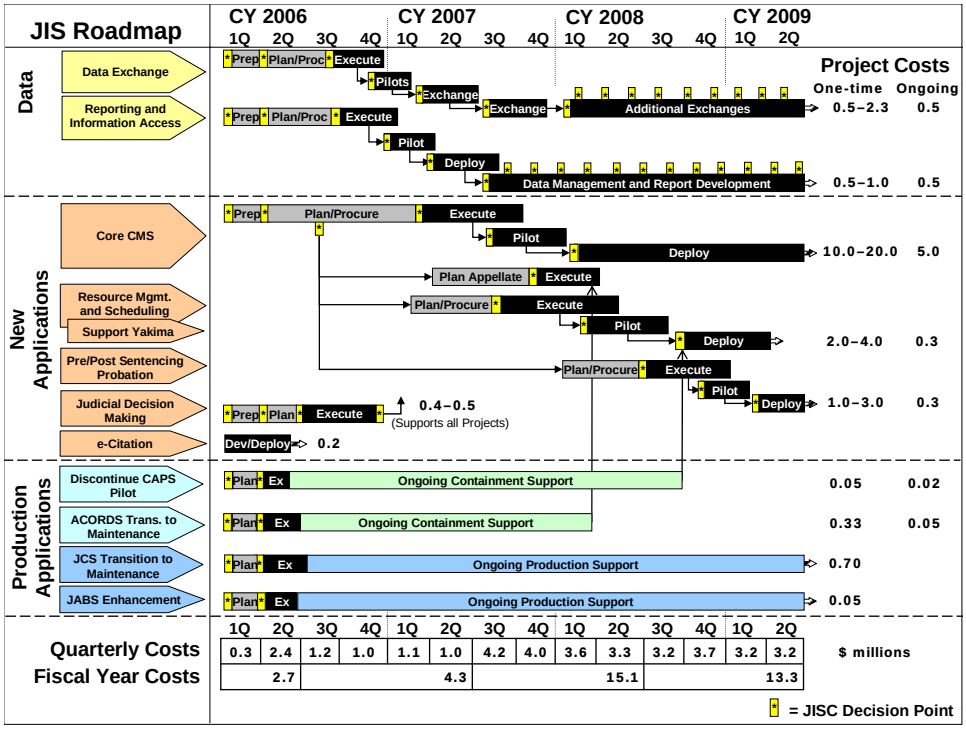
b. Security Plan: The Security Plan project includes identification of security requirements and an implementation strategy for all aspects of the security needed for the future JIS.

c. Accounting and Finance: This project will extend the basic accounting, receipting, and other financial functionality provided in the core case management system to meet present and future needs.

d. Website Portals: This project will provide Web portals for integrated access to JIS applications along with other services provided in the Washington Courts' Web sites to support "anytime, anywhere one-stop shopping." The portal will include the public Internet site and the court system Web site. Access to many services will eventually be provided through this portal, including case information, electronic filing, fine and fee payment, and other services.

e. Jury Management: This project will consider a statewide jury management system for the trial courts.

The JIS Roadmap:



At the highest level, the next generation JIS will be composed of three components that must fit and operate together:

a. Data Exchange: In the future, the JIS will continue to be a group of disparate applications that offer opportunities for integration. The current applications will be replaced, but to achieve the Roadmap goals will require a number of application software components. That means the JIS must have a foundation of data integration services that facilitate the JIS applications getting data in and out of the database in the course of day-to-day operations as well as enable the sharing of data with others. The data integration services will also make possible the leveraging of the legacy systems and database as new case management functionality is phased in.

b. Case Management: The Core CMS will provide the functionality needed by courts and county clerks to support their business operations. The Core CMS may be composed of multiple software packages that use the same database and will need to operate in a coordinated way.

c. Information Access: It is likely that the package software for the Core CMS will contain limited reporting capability. To get reports and information from the database in a usable form to the courts, law and justice partners, and the public will require information access and reporting functionality specifically designed and developed for the JIS.

2. Information Technology Support Strategy

a. Information Technology Organization

The AOC's Information Services Division (ISD) is responsible for implementing, operating, and maintaining information technology to support all levels of the Washington courts. The head of the organization, the JIS Director, is the chief information officer for the Washington courts.

Historically, the ISD has operated as an information technology organization serving the judicial branch. In its role as developer and operator of the JIS, it has provided case management automation to all courts. The ISD operates as a full service organization; the division operates the data center, manages networks, and develops and maintains applications software. In the future, the ISD will move towards operating on an Internal Service Company delivery model providing best-of-breed solution services and maintenance support for the courts along with an enhanced focus on customer relationships.

The expertise of the ISD staff includes:

- Programmers with COBOL, Natural, Magic, and Java skills
- Webmasters proficient in ColdFusion, Flex and Flash, SQL, and PhotoShop
- Technical staff experts in IBM mainframe operating systems, Windows, DB2 and SQL.
- Business analysts who act as court subject area experts.

For execution of the JIS Roadmap, the ISD needs:

- Enterprise architect
- Data architect
- Additional business analysts
- Integration specialists

b. Technology Platform

Historically the JIS applications have operated on IBM mainframes. With the movement to web technologies, Windows servers have become a critical part of the environment. Currently the AOC server environment consists of two platforms: (1) z/OS IBM mainframe and (2) Windows. The majority of the case management production work accessed by the courts resides on the z/OS mainframes. The exception is the Juvenile and Corrections System (JCS), which resides on a Windows server.

The JIS network primarily connects court workstations and printers across the state to servers in Olympia. The AOC directly maintains or contracts for portions of the network connecting state judicial branch facilities in the Olympia area and the Court of Appeals' sites. The AOC contracts with the state's Department of Information Services (DIS) for connectivity to state agencies through the State Government Network (SGN) and to local governments through the Intergovernmental (IGN), and connection to the Internet.

For the future, the server strategy will depend on the solutions chosen for the core case management system, data integration, other JIS Roadmap applications, and changes in technology. The network strategy will focus on ensuring high performance for the delivery of JIS applications. The AOC will need to work more closely with local jurisdiction information technology departments to jointly plan network infrastructure.

3. Maintenance Strategy
   The JIS Roadmap means that the AOC has limited resources to maintain the existing applications, many of which will be phased out as JIS Roadmap projects (particularly the core case management system) are implemented. Changes to existing systems will be limited to changes in the following categories:
   - Required to meet legislative mandates and other authorities (e.g., new and amended state court rules).
   - Required to fix serious problems with the functionality.
   - Enhancements where there are clear, compelling, and documented business cases.

   The AOC will actively consult with the court community before making decisions.

4. Funding Strategy
   Historically, both the development and operation of the JIS has been funded from fees and assessments applied to penalties collected by the courts. Currently, JIS receives funds from two main sources:
   - Public Safety and Education Account (PSEA): The PSEA receives the state's portion of penalties, fines, and filing fees imposed by trial courts. The PSEA funds JIS operations and some software development.
   - Judicial Information System Fund: The JIS fund receives a $12 fee on penalties for infractions. The JIS fund is dedicated to the JIS and used primarily for development projects.

   Successful completion of this strategic plan, including the JIS Roadmap, will require funding from other sources. The state's General Fund will be targeted.

5. User Strategy
   Changes in Court Environment. The recent JIS Roadmap workshops identified business drivers that reflect changes in the court environment that the JIS projects will need to address.

   - There is an increasing need to share timely and reliable data (data, documents, images) with a variety of partners. Historically, criminal justice partners (including local prosecutors; local law enforcement; and Washington State Patrol, Department of Licensing, and Department of Corrections at the state level) have needed JIS data. Increasingly, for a variety of reasons, other governmental entities have needs for information from the courts. In 2005, reforms in voter registration resulted in JIS enhancements to transmit felony disposition and certificate of discharge information to the Washington State Office of the

Secretary of State for input into a new statewide voter registration database. The JIS can expect data sharing requests from other agencies including various divisions of the Washington State Department of Social and Health Services and the Washington State Department of Fish and Wildlife.

- Funding constraints for the courts have and will continue to drive the need for operational efficiencies and cost savings through automation and standardized business processes. For example, the courts need more efficient scheduling, management, and use of court resources. At the same time, there is an increasing need to reduce the cost of access to justice and make sure it is affordable for all.
- The demand for accounting for performance of governmental entities is growing. The courts need the ability to assess court processes and outcomes (outcome-based monitoring). Financial oversight and accountability continue to require support.
- The courts need to provide greater access to services through self-service and after-hours support. Public expectations are that services be available around the clock and in convenient ways such as the Internet.
- An important and growing self-service need is for easy access to information. At the same time the public is more aware of security, privacy and confidentiality issues and concerns with respect to information.
- Growing immigrant populations are increasing the demand to support diverse community and cultural needs.
- The nature of the ways courts conduct business is changing in some significant ways, including the creation of specialty courts to deal with substance abuse, mental health, domestic violence and other specific issues that result in incidents that lead to court cases. Automated support for specialty courts and for coordination among specialty courts is needed.
- Regulatory requirements and business rules continue to change as reflected in modifications to criminal codes and new ways of dealing with offenders. The courts need to be able to adapt quickly and efficiently. For example, the courts need to support alternative jail/confinement sentencing compliance requirements.
- Caseloads continue to change and, in many areas, grow. The courts need greater ability to deal with varying caseloads and to support more complex caseloads.

Court End-User Skill Sets

This environment of change means that those end-users in the judicial branch, in many ways a highly traditional organization, will need to change. One aspect is the need to be able to acquire new skills as technology, including the JIS case management applications, changes. The atmosphere of tradition also means that those in the judicial branch will need to understand the value of technology to their operations and the way technology can enhance justice in order to embrace newer and better tools.

To accomplish these objectives, the AOC will need to assess the gaps in user skill sets and understanding of technology. From this analysis, the AOC will need to build an education plan for judicial officers, court administrators, county clerks, and

staff that addresses both skills for using new applications, related business processes, and appropriate technology fundamentals.

End-User Equipment
Historically, the JIS goal has been to ensure that there is an end-user device (i.e., a personal computer) for each full-time employee in a court or county clerk's office who has a need to use the JIS. Because of funding limits, this goal has not been achieved. In 2006, recognizing that such equipment is used both for the JIS and for local applications, the JISC changed the policy to establish that the JIS provide 75% of the personal computers (based on FTE counts) needed by local courts. This reflects the need for local-state cooperation to share responsibility for equipment that is used for JIS applications and for local applications and tasks such as word processing. Under this policy in the future, courts where the JIS currently provides more than 75% will receive a limit of 75% of their equipment replaced from the JIS. Future funding requests for equipment replacement will be based on this policy.

6. Governance and Project Oversight
   JIS governance operates at two levels:

   a. The JIS Committee provides general direction and is responsible for:
      - Setting the strategic direction
      - Approving funding requests and budgets
      - Deciding what projects will be pursued
      - Establishing policies, standards, and procedures
      - Overall project oversight

      The JIS Committee's Executive Committee provides additional oversight and policy direction including responsibility for budget decisions.

   b. Project steering committees are responsible for overseeing specific projects. Project steering committees are established by the JIS Committee. Project steering committees' responsibilities include:
      - Providing direction to the AOC in project execution
      - Approving project plans
      - Monitoring project progress, budget schedules, and risks
      - Resolving project issues

G. Risk and Mitigation

This section identifies risks to execution of this strategic plan and strategies that need to be in place to mitigate those risks. In its 2005 assessment of the JIS migration project, the Gartner Group identified mitigation factors in 29 areas within four categories of risk. This strategic plan takes the Gartner factors and amplifies, reorganizes, and tailors them more to the JIS environment.

1. Business Case and Benefit Risks
   The JIS projects cannot succeed without a quantifiable business case for each of the projects, a clear definition of scope, and agreed upon priorities. Without an

articulated business case, the JISC and AOC executives will be unable to convince the user community, funding authorities (i.e., the Legislature), and others in decision-making and influential positions that the projects identified in this plan should be undertaken.

a. Business case: JIS projects need to have well thought out and articulated business cases. The governance process needs to ensure business cases are developed.

b. Benefit specification: Business benefits need to be defined and kept up-to-date as change occurs. Business benefits need to drive project prioritization. Processes for prioritization and handling change need to be in place.

c. Benefits Measurement: Business benefits need to be quantified, key metrics defined, and a process implemented to measure them on an ongoing basis. The JISC, AOC, and project steering committees need to work together to define specific, achievable, and measurable benefits and metrics for them.

2. Scope Definition and Management Risks
The scope of projects needs to be clearly defined and controlled. Without clear scope and firm control, it is certain that project costs cannot be controlled and the project cannot be managed. The variation of business practices among the courts is an extreme threat to the scope of projects to implement common applications such as the core case management system.

a. Value Management: Project scope needs to be articulated, understood, and controlled. Governance needs to ensure the vision and scope of projects are identified. Requirements capture and change control processes need to be robust.

b. Gap Management: Gap analysis is needed to reconcile system capabilities with the business requirements.

c. Project Prioritization: Phased implementation schedules, based on consensus among the court levels and a documented business case, are a prerequisite for projects of size.

d. Complexity Control: A clear definition of project scope, understood by all involved in the project, is needed. Impacted stakeholders (geographic, court levels) need to be involved and to sign-off on design.

e. Scope Management: Requires clear definition of project scope and deliverables, structured mechanism for limiting, controlling and handling (both governance [especially considering the complex end-user community in the judicial branch] and implementation) scope changes.

f. Standardization: Standardization of business processes is imperative to control complexities and scope, and to realize anticipated benefits.

g. Customization: Minimal custom changes should be made to an application. Custom changes need to be managed including process, analysis, and documentation.

3. Project Planning and Management Risks
   Lack of project planning and inadequate project planning create severe risk for projects.

   a. Project Management: An experienced project manager and a complete project plan (including schedule), which is up-to-date, are required.

   b. Ongoing Cost Planning: Costs need to be identified completely. A prerequisite is to fully flesh out the solution architecture.

   c. Ongoing Cost Management: Mechanisms need to be established for cost tracking and management. Support resource requirements need to be understood. Cost tracking must be linked to the project budgets. Support requirements need to be identified.

   d. Risk Management Process: Risk management requires a plan and process, identified responsibilities, and escalation procedure when risks increase.

4. Resource Risk
   Resource issues create significant risk for JIS projects. Inadequate funding creates risk by reducing project resources and prolonging projects. The AOC will need to identify personnel resources – both numbers and expertise – required for the JIS Roadmap projects and be prepared to manage vendors and contracts. In addition, many end-user staff will be required for requirements definition, reviews, testing, and planning. The direction towards COTS solutions make vendor selection and contract management critical.

   a. Estimation Quality: Process(es) for estimating cost and schedule, a detailed project plan, evaluation plan, and metrics are required.

   b. Contractual: Effective contract drafting, negotiation, contract management, and vendor management are required. In addition, the procurement strategy needs to include an effective plan for vendors to share project risk.

   c. Project Resources: Resource components need to include strong project and vendor management, architects, methodology, and participation by business representatives.

   d. Budget Management: Processes for budget review, issue management, and budget management need to be established.

   e. Information Technology Operations Support: Identification and involvement of resources, process, and cut-over plan need to be completed early in the project.

f. Vendor Support Planning: Support contracts with service level agreements that include escalation procedures are key.

g. Due Diligence: The procurement process needs to include background checks on key suppliers.

5. Project Execution Risk
   With large projects in progress, the AOC faces great risks in project management and operation. Proper planning, resource identification, and control are essential in the following areas:

   a. Conversion Planning: Requires early planning, accountability, and process for validation.

   b. Conversion Execution: Requires resources and planning including a contingency plan.

   c. Integration Test Planning: Requires accountability, early planning, process, and user involvement.

   d. Performance Test Planning: Requires accountability, early planning, and process(es).

   e. User Acceptance Testing: Requires process for engaging and training users, prototyping so testing can be interactive, and a process for dealing with user concerns.

   f. Contingency Planning: Requires roll-back plan, support plans, training, and identification, before cut-over, of potential failures.

6. Organizational and External Risk
   Particular risks in the Washington courts' environment include the variation in needs among the courts. Business practices vary among court levels and among courts at the same level. This intensifies the need for proper involvement of the courts and end-users.

   a. Organizational Change Management: To manage change requires identification of business sponsors, proper governance for change (e.g., project steering committees), methodology, and communications.

   b. User Involvement: A high level of business and end-user involvement, mechanism for feedback, and senior management commitment to communications are required.

   c. External Stakeholders: Stakeholder impact analysis, communications plans, and escalation plans for cut-over failures are needed.

   d. Training: Training programs need to be developed early in projects, verification procedures need to be created; responsibility for the training strategy and

program need to be identified.